



UNIVERSITY OF CALGARY FACULTY OF SOCIAL WORK

GUIDELINES AND PROCEDURES ON MERIT INCREMENT RECOMMENDATIONS, APPOINTMENT, PROMOTION, AND TENURE

APPROVED BY
SOCIAL WORK FACULTY COUNCIL

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INTRODUCTION

The Faculty of Social Work, at its Faculty Council meeting of September 26, 2001, adopted a vision and mission to guide its future direction. The vision—

creating social well-being and just societies—incorporates a mission

- *Dedicated to promoting societies that respect human dignity and worth, meet basic human needs, are anti-oppressive, inclusive, and based on principles of social justice;*
- *Committed to learners by providing and building a knowledge base and set of skills in environments designed to stimulate and support a spirit of critical inquiry; and*
- *Focused on serving as a catalyst for positive community impact through the creation and dissemination of knowledge and innovation.*

The Faculty of Social Work values *collegial interaction, transparency, accountability, equity, participation, diversity, and democracy*. In its 2008-2012 Comprehensive Plan, the Faculty recognized the following statement as a core belief: “Social justice is promoted and diversity is acknowledged, respected, celebrated and infused in all we do.” This core belief impacts each of the Faculty’s five goals to:

- *To provide high quality educational programs;*
- *To be an international leader in social work research and scholarship;*
- *To collaborate with our communities in mutually beneficial research, professional development, and service;*
- *To enable meaningful involvement and provide a supportive environment and culture for students, faculty members, staff, and sessional and field instructors; and*
- *To operate in a fiscally responsible manner.*

In this context, the Faculty strives to attract, retain, and reward top quality teachers, researchers, and scholars. Such a commitment requires the necessary mechanisms to ensure recognition and reward. The Faculty of Social Work *Guidelines and Procedures on Merit Increment Recommendations, Appointment, Promotion and Tenure* defines the mechanisms that will be used to assess the performance of faculty members. The document reflects the Faculty’s commitment to excellence, within an environment that thrives on its members’ diversity of pursuits.

The Faculty of Social Work, University of Calgary, has a provincial mandate to provide social work degree education throughout the province. To fulfill this mandate, the Faculty operates two regions in addition to the Calgary campus at the University of Calgary. One region based in Lethbridge—the Southern Alberta Region—offers the BSW and MSW program; another region based in Edmonton—the Central and Northern Alberta Region—offers the BSW and MSW programs. The Regions are administered by a Head or Associate Dean, who report to the Dean. The Calgary campus offers the BSW, MSW, and PhD programs. The Faculty as a whole is administered by a Dean and two Associate Deans—Research and Partnerships, and Academic. The Faculty’s graduate and undergraduate

programs (BSW/MSW) are accredited on a seven-year cycle by the Canadian Association of Schools of Social Work.

USE OF THIS DOCUMENT

The purposes of the *Guidelines and Procedures* are:

- To define standards of performance
- To guide academic staff in establishing their goals, and
- To define procedures for promotion and tenure applications.

This document must be read in conjunction with the University's documents:

- Procedures Pertaining To Appointment, Promotion, And Tenure Of Academic Staff (APT Manual), and
- The Manual Of Policies And Procedures For The Annual Assessment Of Academic Staff (Increments and Promotions) (GPC Manual).

Academic staff should use the performance standards defined for the different academic ranks as a general guide to the expectations of the Faculty. Academic staff members are strongly encouraged to discuss these standards and expectations with their Dean, and to formulate academic and professional goals that are consistent with both their individual career objectives and with the goals of the Faculty of Social Work.

The Dean and Associate Dean(s) must use the guidelines in their commitment to mentor colleagues and ensure that Faculty members have a reasonable expectation of achieving their goals as well as receiving rewards and recognition for their performance. The Dean and/or Associate Dean(s) should be available to colleagues to discuss their performance and assist them in achieving their academic and professional goals.

The Dean, Associate Dean(s), and relevant committees, for example, Faculty Promotions and Academic Appointment Review Committees, must use the guidelines and procedures defined both in this document and relevant University documents to assess the performance of individual academic staff members.

GENERAL GUIDING PRINCIPLES

The performance standards and expectations defined in this document are based on the University's criteria for evaluating teaching, research, service, and academic leadership.

- Teaching at the undergraduate and graduate levels, including graduate supervision;
- Research and scholarship;
- Service to the Faculty, University, profession, and community; and
- Academic leadership.

For purposes of biennial assessments of academic staff member performance, this Faculty

utilizes an overall rating that addresses teaching, research, and service together. Generally, a ratio of 40:40:20 is assumed as the time one allots to the three areas of teaching, research, and service for those in the professorial rank, although this could vary depending on one's career pattern. For those in the Instructor rank, a ratio of 80% teaching and 20% service is assumed. Normally the Faculty Promotions Committee (FPC) shall endeavour to give separate attention to each of the three areas in arriving at the overall rating. However, in doing so, the diversity of career patterns will be recognized and the implications for assessment carefully considered.

Performance expectations in relation to the three areas increase with ascending academic rank and progression within the professorial rank. The granting of tenure or promotion to higher ranks requires evidence of accomplishment in each of the areas of research, teaching and service.

All academic staff members who are eligible for professional registration as required by the Health Professions Act must maintain registration.

In the context of performance guidelines and expectations defined in this document, academic staff should exhibit characteristics necessary for the fulfillment of the Faculty's goals in delivering programs that meet the needs of learners; fostering pride in an integrated professional community of scholars, learners and practitioners; and developing quality graduates. These include:

Practice Competence: Quality social work professionals require a strong practice foundation. Academic staff members need to demonstrate and transfer their knowledge of professional practice to future social work graduates, at both the undergraduate and graduate levels.

Integrity: Academic staff members are expected to exhibit integrity in their academic and professional activities. The social work profession requires adherence to a Code of Ethics, which must be fostered in students undertaking social work studies. This is best achieved by example. Excellence in research and scholarship also depends on the integrity of all participants.

Collegiality: A leading school of social work should incorporate teamwork and a collegial spirit. Academic staff members should look for opportunities to collaborate in teaching, research, scholarship, and community endeavours. As well, the effective governance of a democratic environment requires active participation of all individuals with diverse skills to formulate and implement the strategic plans and initiatives of the Faculty.

Leadership: Key to the success of the Faculty and its goal of being a leading school is the willingness of individual Faculty members to take on leadership roles, ensuring that this is a shared commitment and not the function of a few.

International involvement: Social Work is an international and cross-cultural discipline, and the Faculty has long understood the need for students to be exposed to practice in different countries and cultures. Academic staff members are also encouraged to develop international linkages and activities, so that their research and scholarship will reflect international involvement and perspective.

ASSESSMENT OF ACADEMIC STAFF

For academic staff holding appointments with tenure, the term regular assessment is defined as a formal assessment on a biennial basis. This assessment is based on the report of the two preceding years. The increment awarded in the assessment process will apply to each of the subsequent two years. (APT Manual 6.1.4)

For Initial Term, Contingent Term, or Limited Term academic staff, the term regular assessment is defined as a formal assessment on a biennial basis. The increment awarded in the biennial assessment process will apply to each of the subsequent two years. (APT Manual 6.1.5).

For untenured academic staff (Initial Term, Contingent Term or Limited Term), a report is submitted, annually and academic staff are required to meet with the Associate Dean and/or Dean in the intervening year to discuss that academic performance report and their career progress. Written comments will be provided to the staff member regarding career progress. The staff member must sign that document to signify that he/she has read the comments, which may be appealed to the Faculty Promotions Committee, and if the decision is negative, to the General Promotions Committee. (APT Manual 6.1.5)

In the Faculty of Social Work, the responsibility for written assessments is delegated to the appropriate Associate Dean. The Associate Dean's Advisory Committee reviews reports and applications for promotion, and committee feedback is reflected in the Associate Dean's written assessments. (APT Manual 6.2.2(b))

Membership on a Faculty Promotions Committee entails a two-year commitment. In the intervening year, the committee shall review and make recommendation on applications for promotion, and on appeals that come forward in regard to the wording of the review.

Where the first assessment of an academic staff member is in the intervening year, s/he will receive a default increment equivalent to the average increment per full-time equivalent member provided to the Faculty by the General Promotions Committee. On any future report, this shall be identified as a default increment rather than an assessed value.

Any Continuing, Contingent Term, or Limited Term academic staff member who receives a zero increment for unsatisfactory performance shall be formally assessed the following year.

The Faculty Promotions Committee attempts to give serious attention to each of the three areas—teaching, scholarship, and service—in arriving at an overall rating, recognizing the diversity of career patterns, rank, and position in the rank.

GENERAL REQUIREMENTS FOR ACADEMIC STAFF (TEACHING AND RESEARCH)

TEACHING

High quality teaching involves an effective dissemination of knowledge and an ability to inspire students to learn, to develop critical thinking skills, to analyze and construct conceptualizations and ideas, to create effective solutions, to broaden horizons, and to sustain intellectual curiosity.

The Faculty of Social Work believes that quality teaching is an important factor in preparing students for professional practice. Teaching, in its broadest sense, includes the design and implementation of a range of learning experiences that are directed to the attainment of specified learning objectives and general program/professional goals.

Faculty members, as teachers, are expected to be proficient in a variety of teaching roles, including lecturing, providing tutorials, leading seminar discussions, advising and, where appropriate, providing thesis supervision, and field education supervision and instruction. Dialogue and interaction with students on day-to-day academic and research activities and mentoring relationships are also important aspects of effective education.

Within formal teaching assignments, faculty members are expected to treat students with respect and fairness, to be accessible to students for encouragement and direction, to follow Faculty-approved policies and procedures regarding teaching, and to be committed to developing and maintaining good teaching performance. Faculty members must show a commitment to teaching and are encouraged to continuously enhance their teaching and to experiment and learn from teaching innovations.

In turn, the Faculty is responsible for providing useful critiquing, support, encouragement, and opportunities for teachers to develop and improve their teaching performance. Teaching assignments shall be made in the context of consultation with individual faculty members, respecting both the needs of the faculty in covering course assignments, and the capabilities and developmental aspirations of individual faculty members [Collective Agreement 12.1]. In instances where faculty teaching performance is judged to be unsatisfactory, a detailed remedial plan will be developed by the academic staff member in consultation with the Dean.

All Faculty members are expected to be actively involved in advisory roles with students. This includes being accessible to students.

Another important component of the teaching function is effective supervision and timely graduation of graduate students. Supervision includes the mentoring and regular meetings associated with educating a graduate student to assist him/her fulfil the academic requirements of a graduate program. Faculty members are also

expected to encourage the overall development of graduate students through publications and presentations; international study, research or work experience; and applications for scholarships and awards. It is recognized that graduate students who are course-based require a less intensive supervisory commitment than thesis students who require a more intense and longer-term involvement from faculty members.

Consistent with the commitment to offer teaching opportunities to graduate students (23.2(l) Collective Agreement), supervision of graduate students in these courses will be recognized for the purposes of merit, tenure, and promotion. Supervision/mentoring, where required for these graduate students, is the responsibility of the Associate Dean (Academic) or designated faculty member.

The development of technology-based products may be considered as teaching innovations if they are integrated into the classroom.

Teaching Assessment

The performance assessments of teaching completed by the appropriate Associate Dean will recognize

- curriculum and course redesign or redevelopment;
- participation in teaching development programs;
- whether it is new material for the instructor or new material in the curriculum;
- the extent of teaching and range of courses/material taught across programs;
- the appropriate use of technologies and other tools for teaching enhancement;
- the incorporation of diverse perspectives including, but not limited to, multiculturalism, diversity, and Aboriginal issues into course content;
- graduate student supervision (including mentoring of graduate students in their teaching); and
- independent study courses.

Independent Study Courses (optional), while they may be a valuable part of the university experience for students, are not taken into account when calculating formal teaching loads.

When teaching opportunities are offered to graduate students, supervision/mentoring of these students will be the responsibility of the Associate Dean (Academic) or designated faculty member. Such contributions by faculty members will be recognized for the purposes of merit, tenure, and promotion.

Evidence of Teaching Effectiveness

To provide evidence of teaching effectiveness that can be assessed by the Faculty Promotions Committee, academic staff must submit materials that substantiate teaching claims. These are likely to consistently include course outlines and teaching evaluations (both formative and summative). Where applicable, peer/external evaluations (described below), and materials to substantiate teaching innovations, teaching enhancement, and/or course development should also be included.

Some teaching assignments are not given to a single faculty member, but to a number of individuals working on collaborative course delivery. The USRI and Faculty course evaluations do not appropriately evaluate multi-instructor courses. It is the responsibility of the instructors involved to formulate and report formative and summative evaluation results for these courses. The results of these evaluations will form part of the teaching assessment.

In the case of academic staff making application for renewal of initial term, promotion, and appointment with tenure, a teaching dossier must be included in the supporting documents. Although teaching dossiers take various forms, it should be easily read and well organized. It could include, but is not limited to:

- a 4-8 page summary outlining teaching philosophy, responsibilities, and contributions (courses, student advising, administrative/committee responsibilities);
- teaching philosophy, goals and objectives, teaching methods, teaching development projects;
- teaching effectiveness (summative and formative evaluations), self-reflection; and
- supporting documentation (appendices).

Peer evaluations. With prior notification to the Associate Dean (Academic), a Faculty member may request peers to attend his/her classes to audit and review teaching capabilities and proficiencies, and provide written input to the Associate Dean (Academic) or Dean.

If such a process of peer evaluation is initiated by the Dean or Associate Dean (Academic), the Faculty member must receive reasonable prior notification of the visit. Notice should be given as to the session in which visits may take place and should be received by the academic staff member at least one week in advance. Information gathered during these visits will be provided to the academic staff member and may be considered by the Associate Dean's Advisory Committee, FPC, and GPC, when appropriate.

This latter process for peer evaluation should not be seen as a punitive measure, singling out one or two academic staff members, but should be presented as a teaching tool available to all.

Student evaluations are also considered in evaluating teaching performance. Students will have an opportunity to give feedback on every course offered by the faculty, through a formative evaluation by the mid-term of the course,

and, at the end of the course, the Universal Student Ratings of Instruction Instrument and the Faculty of Social Work Course Evaluation.

Academic appointees having reduced teaching loads, for example, through adjusted assignments (Collective Agreement, Section 12.4) (not paid leaves) will receive proportionately reduced recognition for teaching performance in their performance appraisals. In its place, work in relation to the adjusted assignments will be evaluated.

Levels of Performance

Unsatisfactory

A judgment of unsatisfactory performance will be related to one or more of the following factors present in more than one course:

- failure to provide adequate course outlines, required hours of teaching (as per Master Timetable), office hours for student contact, notice of cancellation of classes;
- receiving consistently low evaluations of teaching performance (from students, peers, or both);
- evidence of concerns in the teaching roles of advising, supervision of graduate students, field education instruction and/or supervision;
- failure to manage an assigned course load;
- failure to respect diversity;
- failure to respect competing ideas and perspectives in the classroom; and/or
- written and signed complaints related to teaching performance and/or teaching relationships.

It should be noted that if there are concerns, the Dean/Associate Dean would consult with the faculty member about these as they arise offering appropriate options to improve teaching performance; the concerns would appear before FPC or AARC only if they continue.

Satisfactory

A judgment of satisfactory performance is related to the following conditions:

- no evidence of unsatisfactory teaching and no evidence of meritorious teaching, or evidence of unsatisfactory teaching offset by evidence of meritorious teaching; and
- teaching load consistent with Faculty norms (to be interpreted within the divisional context and provisos regarding reduced teaching loads).

Meritorious

A judgment of meritorious performance is related to the following conditions:

- documented evidence of better than satisfactory teaching and no evidence of unsatisfactory teaching; and/or
- a special teaching contribution such as introducing a new course to the curriculum, an important teaching innovation, coordination of curriculum design, or coordination of multiple sections of the same course

SCHOLARSHIP

The pursuit of scholarship through knowledge-building and scholarship is another primary function of Faculty members. For the Faculty of Social Work, research is defined as work, either completed or in progress that contributes to the knowledge base of social work practice, social policy, social work education, social welfare, international social development, or academic disciplines allied to social work locally, nationally, and internationally. While all three assessment areas are considered, research is essential for tenure and promotion at the Assistant/Associate/Full Professor ranks. Contributions to the discipline as defined in this section shall be deemed equivalent to other research.

The basic criteria for assessing whether a given product qualifies as scholarship for purposes of this assessment are review (some form of independent merit assessment) and dissemination. Peer review generally refers to a formal review process involving professional colleagues external to the Faculty. In cases where peer review would not be possible in this way, a faculty member may wish to consult with the Dean to devise alternate methods of peer review. Dissemination refers to availability of the product in the scholarly and/or professional community. The FPC will assess all research output against these criteria of peer review, or equivalent, and dissemination. It is the faculty member's responsibility to provide evidence that a given piece of work has met these standards.

There are three categories of research which distinguish stages in the completion of such work:

- Completed work is work that has successfully passed a peer review process and has been disseminated (e.g., has appeared in print or is available to the professional and/or scholarly communities through some other medium), or an awarded research grant.
- Work in-press is work that has successfully passed a peer review process and has been accepted as completed and ready for dissemination by a journal publisher or comparable agent, but has not yet appeared in the public domain.
- Work in-progress is work submitted for which a decision has not been made. For example, an abstract submitted to a conference, a manuscript submitted to a journal or publisher, a grants proposal submitted to a funding body.

Work in-press can be considered to preclude a rating of unsatisfactory in the area of scholarship.

Work in-progress or in-press can be credited once on the basis of a letter of agreement or a contract. In subsequent years credit will be given if the work is published or produced for dissemination.

When work in-progress is first reported, the submission should be provided along with the expected decision date. If the same work is reported as in-progress in a subsequent assessment period, the initiation date, original planned completion date and, if applicable, the revised decision date should be reported.

The following items qualify for consideration as research providing there is some form of peer review:

- A research grant; a funded research project. With respect to research grants, FPC will give due consideration to the size of the grant and the rigor of the competition. For purposes of merit consideration, grants will be “amortized”, i.e., portions of the grant may be claimed over the life of the research project as stipulated in the contract with the granting body.
- A self-funded or no cost research project of merit
- Non-funded grant proposal
- Letter of intent for grant submission
- Publication of an authored book
- Publication of an edited book
- Editorship of a scholarly journal
- Editorship of a special issue of a journal
- Article in a refereed journal
- Book chapter
- Monograph (provide ISBN #)
- Major published research reports (e.g., evaluation studies, or policy reports)
- Training/teaching manuals, or materials (peer reviewed/
published/disseminated)
- Contribution to or innovation in professional practice, including
international development practice
- Paper published in conference proceedings
- Scholarly presentation/Conferences (indicate peer reviewed, non peer
reviewed, invited, or contributed)
 - ⇒ Full text paper
 - ⇒ Presentation (no full text paper)
- Production and dissemination of scholarly work in non-print media such as
film, video, and audiotape, or computer software

- Published book reviews
- Member of an editorial board or a grant selection committee
- Referee or reviewer for a journal or research grant organization.

In addition to copies of completed work, documentary confirmation of the following scholarly achievements should accompany the Academic Performance Report:

- full text paper presented at conference documented in conference materials;
- contract for production of scholarly work;
- grant award for research or scholarly work; and
- letters of acceptance of “in press” work for publication.

Outside Professional Activity funded research, particularly major, (see Appendix B for what constitutes minor/major OPA) is not considered in the merit assessment.

Scholarship Assessment

Key criteria in assessing research performance and scholarship are quality, impact, and productivity. Peer-reviewed publications in internationally recognized journals and research grants from reputable funding bodies play an important role in defining quality, particularly since this is normally blind peer-review, and therefore is essential to the attainment of tenure and promotion to higher ranks. Performance expectations in relation to research and scholarship increase with ascending academic rank and progression within a rank.

When documenting collaborative and multi-disciplinary scholarship, Faculty members should endeavor to distinguish individual contributions. If authors are listed alphabetically, equal contribution will be assumed; otherwise, the assumption will be that the contribution level is indicated by the order of authorship.

Conference presentations play a key role in the dissemination of research results. When documenting conference presentations, distinction should be made in the type of presentation. For example, indication must be made of whether the presentation was a paper presentation, providing the full paper in documentation, or a conference presentation without an accompanying paper.

Funding through grants and contracts is also an important research accomplishment. The award of a grant or contract provides evidence that a Faculty member is capable of formulating and planning a research project, and can identify innovative and novel approaches to fundamental and/or applied research. Grants and contracts awarded under a competitive process are deemed better indicators of research performance than funding awarded under a non-competitive process. Grants and contracts involving rigorous peer review, especially national granting councils, are the best measure. This latter determination is based on the fact that

the peer review process associated with the grant or contract provides a mechanism to validate the quality and impact of the research.

It is also important to emphasize the significance of the award of a grant or contract as opposed to the size of the grant or contract, recognizing that funding availability varies widely with the discipline and field of research. Some grants and/or contracts are not awarded to a single Faculty member but to a number of individuals working on collaborative research projects. When listing the funding of collaborative work, level of involvement in the project should be indicated (i.e., Principal Investigator, co-Principal Investigator, co-investigator, collaborator), as should the duration of the grant.

An important characteristic of many social work research projects is collaboration with community partners. These community partnerships are essential, as the agencies involved provide an important connection between social issues, social work practice, and research. When Faculty members contribute to partnered projects or initiatives on behalf of community partners, their contributions should be noted. Examples of this include authorship on funding grants, reports, journal articles or other forms of scholarship. When Faculty members contribute to projects for which they do not receive such listing, documentation of their contribution must be provided by the community partner.

The Faculty values the inclusion of graduate students in research initiatives. This involvement results in students trained in research design, critical thinking, exposure to the relevant literature, and approaches critical to the field of study. It is important that students be provided exposure to investigators in the field through participation in the development of funding proposals, funded research or contracts, documentation and presentation of thesis research, conferences, involvement in scholarly publications, and other collaborative endeavours. Measures of quality include feedback from external examiners on the quality of theses, co-authorship on peer-reviewed journal publications, and co-authored conference paper presentations.

Levels of Performance (note that the basic criteria of peer review and dissemination outlined earlier are continuously applied)

Unsatisfactory

With due consideration of the rising expectations associated with the rank,

- overall, no or minimal evidence of scholarly work including:
 - no publications such as journal articles, book chapters, book, or anything in press;
 - only one or two conference paper presentations with none of the above.

Satisfactory

With due consideration of rising expectations associated with the rank, there should be evidence of scholarly work that is disseminated, peer reviewed, or funded research. Examples may include:

- a refereed journal article or book chapter, or two conference paper presentations;
- work in-press;
- research grant.

Meritorious

With due consideration of the rising expectations associated with the rank, performance is meritorious if an academic staff member demonstrates accomplishments in the area of research (as operationalized above) that are significantly beyond the minimal requirements for a satisfactory rating.

The Faculty of Social Work considers recognized and acknowledged high quality contributions to the discipline of social work (e.g., innovations in practice, social research and development projects, technology-based products, work advancing understanding of social work in its international context) as satisfying the research requirement provided there is peer review or equivalent. (APT Manual 3.3.4)

SERVICE

Several activities or achievements that are associated with scholarly production are considered as service contributions. These include, but are not limited to the following:

- articles in newsletters, newspapers, periodicals, etc.
- chairing a session at a scholarly or professional conference;
- leadership role in a scholarly or professional conference
- interviews, speeches, contributions to public proceedings, etc.
- consulting to or advising a government or service agency or community group
- service contributing to advancement of the internationalization goals of the University and/or the Faculty

There are two aspects of service contributions— service to the academic community and service to the larger community. Neither of these is considered to be more important than the other, although a satisfactory level of performance implies at least a minimal contribution to the governance of the Faculty and the University, as well as contributions to the larger community.

The performance assessment of faculty members shall include an assessment of service to the Faculty, the University, to the profession, and to the community (local, provincial, national, international). This includes membership on committees, boards, councils, etc., and an indication of participation, including, at a minimum, approximate annual hours, and specific role. In the case of promotion

or appointment with tenure, service may include outside professional activities (OPA) provided that these activities demonstrate the activities contribute to the enhancement of the stature of the University. However, the merit assessment process does not normally consider outside professional activities as service contributions.

Active involvement in professional organizations and societies (meetings/conferences); granting councils; local, provincial, and federal government agencies; community organizations and social service agencies (boards/ committees) are examples of service performance. Consistent with the value placed on international involvement, the Faculty encourages its academic staff to participate in service activities at national and international levels.

Levels of Performance

Unsatisfactory

The faculty member's contribution to the Faculty, University, and community/profession falls short of the basic standard for satisfactory performance as described below.

Satisfactory

The faculty member's contribution to the Faculty, University, and profession/community adequately meets reasonable expectations for the rank and in the context of other assignments as established by the following criteria.

1. the level of responsibility carried in the service role (nature of the office held);
2. the special expertise or leadership abilities demonstrated in the service role;
3. the amount of time devoted to the role during the assessment period;
4. the distinction brought to the Faculty of Social Work through the academic staff member's service; and
5. the relatedness of the community/professional service to the individual's role as a member of the academic staff of the Faculty of Social Work (e.g., social work practice, social action, continuing professional education, consultation, and policy development).

Meritorious

A meritorious performance rating in service requires full documentation of service that clearly exceeds normal expectations, as established by the above criteria.

CRITERIA FOR MERIT ASSESSMENT AND INCREMENT RECOMMENDATIONS

The process for merit increment recommendation involves evaluation of a Faculty member's performance in teaching, research, and service. Accomplishments in teaching, research and service should be fully documented in academic performance reports, "in a form prescribed by the President and shall cover a reporting period established by the

General Promotions Committee” and submitted with supporting documentation.

For tenured academic staff, the formal assessment is on a biennial basis involving one report covering those two years. Initial Term, Contingent Term, and Limited Term (untentured) academic staff are required to submit an academic performance report in the intervening years as well.

In the merit years, the absence of such report(s) shall normally result in a zero increment award. Such a zero increment award shall normally be considered to be unsatisfactory performance. (APT 6.1.5.1)

Normally the Faculty Promotions Committee (FPC) shall endeavour to give equal emphasis to each of the three areas in arriving at the overall rating. The diversity of career patterns should be recognized and the implications for assessment carefully considered.

In late Spring to early Fall, meetings are scheduled between the Dean, Associate Dean and/or Head, and individual faculty members, with special attention to new academic appointees (i.e., in years 1-6) to discuss professional goals for the coming academic year, as well as long-range goals, e.g., renewal of initial term, deferrals, applications for promotion and tenure, fellowship applications, and so on.

Although meritorious accomplishments in teaching, research, and service must be apparent in a faculty member’s career, s/he may wish to focus on a particular area, such as teaching and/or grantsmanship, in a given term or year. It should be noted that meritorious assessments (.6 and higher) do not necessarily guarantee that an academic staff member is ready to make successful application for promotion and/or tenure. For such applications to be successful, the applicant should be able to substantiate the capacity for a career as a productive researcher/scholar, effective teacher, and active contributor to the University community. (APT Manual 5.7.5.2)

All aspects of a faculty member’s career are taken into consideration for tenure and include the full spectrum of teaching activities as noted under Teaching, a full representation of research/scholarship as described under Research, and service activities to the University, Faculty, profession, and community as noted under Service. With reference to the latter, evaluative assessments will be included (e.g., meeting attendance, service hours, administrative appointments).

In the case of Instructors, the agreed duties shall be incorporated in the letter of appointment and shall provide the basis for consideration for performance assessment and increments. Assessments should take into account all academic activities in the areas of teaching, service, and scholarship, although the latter is not a requirement of the instructor rank.

If the duties of an academic staff member have been adjusted or agreed to by the Dean, then that member shall be evaluated on the basis of the adjusted duties, recognizing the diversity of career patterns. (Collective Agreement 12.4)

Assessment of Academic Leadership

The evaluation of administrative positions with the Faculty, specifically those of Associate Dean, Division Head, and Director, will be a function of the merit assessment process.

Academic Performance Report

It is the responsibility of the academic staff member to fully document contributions in teaching, research, and service. Any achievement not included in the academic performance report may not be taken into account in the formal assessment.

The Academic Performance Report is accessed online. A hard copy is placed on the faculty member's personnel file. For the formal assessment of academic staff—annual or biennial—the Academic Performance Report should be accompanied with appropriate supporting documentation in order to provide a complete account of the faculty member's performance for the period under review. Supporting documents may include student course evaluations, other teaching performance evaluations, publication contracts, letters of commendation, invitational letters, workshop/conference brochures, etc. In cases where several documents support a particular performance area, summary information should be provided.

Academic staff engaged in OPA of any kind may include a report of these activities in their academic performance report and are asked to declare OPA, in writing, to the Dean's Office prior to the FPC meeting.

In the area of teaching, it is important to note course redesign, redevelopment; new course development; innovations in education; and activity surrounding/enhancing teaching. In scholarship, to assist in the process of making fair and equitable assessments of work published during a reporting period, it is important to distinguish between new work and work that was previously published in some form, i.e., whether the material was republished intact, whether there were minor editorial changes, or major content revisions. In the area of funding proposals, it is important to indicate your involvement. Since some service activities require more time than others, academic staff members should note the hours involved and their role or commitment, and include documentation where appropriate.

Guidelines for Merit Increment

The University's General Promotions Committee (GPC) has determined that when the evaluation of a staff member's performance is satisfactory, that member shall be awarded an increment unit called the "Career Progress Adjustment" (CPA). Currently, CPA is 0.4 of a merit increment unit.

Increment Unit	Performance Assessment
0.0	Unsatisfactory
0.4	Satisfactory Career Progress (CPA)
Above 0.4	Meritorious

In the case in which an academic staff member's performance falls below the "satisfactory" level in any of the three areas of teaching, research, or service, the Faculty Promotions Committee will recommend to the Dean that a meeting be held with that member to clarify the concerns and develop a plan jointly with the academic staff member to address these concerns.

The Dean shall delegate the responsibility of providing a written evaluation and recommendation on each academic staff member to an Associate Dean.

Those charged with the responsibility of preparing written performance assessments must produce a comprehensive statement with recommendations that can be understood without reference to any other information. The written assessments are submitted to the Dean's office and a copy shall be presented to the academic staff member concerned and an opportunity provided for discussion within the scheduled time period established by the General Promotions Committee. Members of the FPC receive copies of the final written assessments as part of the materials provided to complete their own independent assessment of each Academic Performance Report. All materials to be reviewed by members of the FPC will be situated in a locked room, normally one week prior to the FPC meeting. Members are requested to schedule times to review these materials and no materials will leave the room.

The period under review must coincide with the reporting period covered in the Academic Performance Report(s).

The Committee must consider each academic staff member's case individually. The performance rating and corresponding merit increment award will be recommended to the Dean. The Dean must provide a written rationale to FPC for not accepting the recommendations of the committee.

In addition to information supplied by the academic staff member, it is the responsibility of the FPC chair (i.e., the Dean) to gather other information and documentation which the committee may need when reviewing the member's performance. Student submissions are admissible if they are written, signed, and give justification for their views (this does not refer to unsigned teaching evaluations, which are admissible: see Section 3.2.4). No anonymous material is acceptable. The academic staff member must be given the opportunity to respond

in writing to any solicited (other than reference letters) or unsolicited information which is included for review by FPC and the members' responses must also be included in the FPC review.

Performance assessments and/or increment recommendations, as well as the denial of promotion to a higher rank, may be appealed to the FPC.

Merit Increment Recommendations During Leaves

A member on paid leave of absence during the normal assessment period shall be evaluated with respect to the period of leave, on the basis of the activities set out in the approved leave application and with respect to periods before or after the leave, on the normal criteria. For example, if teaching activities are not expected as part of the leave, the individual should not be penalized for not teaching. Nonetheless, if teaching or other relevant activities occur in addition to or as a part of the proposed leave activities, then these activities should be reported and evaluated.

A Research and Scholarship Leave does not entail any loss of rank or appointment status. Staff members on a Research and Scholarship Leave shall be subject to assessment on the same basis as other members of the academic staff. (Collective Agreement 16.13) The staff member shall submit a Research and Scholarship Leave report with accompanying documentation to the Dean within three months of completion of the research and scholarship leave. The Dean will then forward the report to the Research and Scholarship Leave Committee, and the individual's performance while on leave will be evaluated based on a comparison with the leave application. This evaluation will then be forwarded from the Dean's Office to the President and a copy will also be forwarded to FPC.

Faculty members on leaves without pay, e.g., career stop-out leaves, will not be evaluated or awarded any merit increment for the period of the leave. Parental or sick leaves will not affect merit increment.

Leaves re: Promotion and Tenure

Since promotion to a higher rank and tenure are based on performance and achievement, leaves should not affect either of these. However, some leaves may result in a delay in achieving some milestones. If a leave causes a delay in the application for tenure, there are administrative mechanisms in place that can prolong the Initial Term appointment or defer consideration. For clarity on deferrals, see APT Manual 5.5.5.

Associate Dean's Advisory Committee

In the Faculty of Social Work, an Associate Dean is responsible for the processes of merit increment and promotion. The responsibility for preparing and presenting merit recommendations will be rotated among each of the Associate Deans. It is the responsibility of the Associate Dean to evaluate the contributions of each individual faculty member in a written format using the form, *Faculty of Social*

Work, University of Calgary, Assessment and Recommendations to Faculty Promotions Committee. The Associate Dean will provide an opportunity to discuss this assessment with the Faculty member prior to submitting the recommendations to the FPC.

To provide a broader and more consultative process in the initial assessment—and in accordance with *APT Manual* 6.2.11—an Associate Dean's Advisory Committee (ADAC) will individually review and make merit increment recommendations to the Associate Dean, who will chair the committee. The recommendations from ADAC are not binding, as the Associate Dean is solely responsible for the final recommendation to the Faculty Promotions Committee [APT 6.2.12].

Membership composition of the Associate Dean's Advisory Committee is listed in Appendix A3 of these guidelines.

The draft reviews/recommendations from the Associate Dean will be made available to Faculty members at least two weeks prior to the meeting of the Faculty Promotions Committee. Faculty members will be invited to discuss these drafts with the Associate Dean and, following discussion, the Associate Dean will prepare a final review/recommendation that will be forwarded to the Faculty Promotions Committee, at least one week prior to the meeting of FPC. A copy of the final review/recommendation will be forwarded to the faculty member.

Faculty Promotions Committee

The Faculty Promotions Committee (FPC) is advisory to, and chaired by, the Dean. The FPC evaluates performance of each member of the Faculty and makes a merit recommendation to the Dean. The FPC makes every effort to ensure that inequities do not occur at the Faculty level. On the basis of all information and advice available, the Dean makes a recommendation to the University's General Promotions Committee (GPC).

If the Dean modifies the recommendation of the FPC, the Dean will advise the GPC and the academic appointee in writing, giving the reasons for such action. The Dean will also advise the members of the FPC and the Associate Dean that the modification has been made.

Appeals (APT Manual 6.6)

Appeals are to be addressed to the Chair, Faculty Promotions Committee, and received by 4:30 p.m. on the day preceding the FPC meeting.

For interim reviews, faculty members may appeal the wording of the Associate Dean's review.

For the biennial assessment period, if a faculty member has appealed the Associate Dean's original recommendation, or if the Associate Dean's recommendation was higher than the Dean's merit increment recommendation, the faculty member may appeal the Dean's recommendation to GPC. The GPC will not adjust any increment recommendation by less than 0.4, except to bring a staff member's salary to the floor or ceiling of a rank, or bring the recommended increment to the CPA (currently 0.4), or to bring it to the earlier recommendation of the Head or the

Faculty Promotions Committee, or to adjust the recommendation of a Dean in the case of an academic appointee whose case is reviewed in the first instance by the GPC .

See Appendix A for more information on the Faculty of Social Work's FPC.

Conflict of Interest

Taking into consideration the composition of the above committees, the Faculty of Social Work has formulated policies in areas in which there may be a conflict of interest.

A member of the Associate Dean's Advisory Committee or Faculty Promotions Committee should withdraw from consideration of the case of a Faculty member when a situation exists that creates a reasonable apprehension that he or she would appear to be biased.

A Faculty member may request that a member of the Associate Dean's Advisory Committee or Faculty Promotions Committee withdraw from consideration of their case if it is perceived that a situation exists that creates a reasonable apprehension that the committee member would appear to be biased.

Situations would include, but not be limited to:

1. a supervisory or instructor relationship between a student committee member and a faculty member under review;
2. a significant personal relationship, past or present, with a faculty member under review;
3. initiation, pursuit, or threat to bring a law suit, allegation of misconduct, complaint of harassment, or similar action against a faculty member under review; or
4. an occurrence that is comparable to the above situations.

The focus of the above is not only on bias, but the perception of bias. It is the responsibility of each member of the Associate Dean's Advisory Committee and Faculty Promotions Committee to consider the above standards and to make a personal decision as to whether to withdraw in each case. No explanation of the reason for withdrawal is needed.

Confidentiality

By the rules of the University of Calgary, all documentation to which access is provided by virtue of membership in the Faculty Promotions Committee and Associate Dean's Advisory Committee is completely and irrevocably confidential. Every safeguard will be taken to ensure confidentiality and appropriate distribution of materials and information in regard to the process of increment and merit.

TENURE

Tenure is a long-term commitment on the part of the Faculty and the academic staff member. Tenure is awarded only to academic staff members who show, through evidence of performance and external evaluation by eminent referees, that they are, and have the potential to continue to be valuable contributors in their academic activities.

Meritorious assessments (.6 and higher) do not necessarily guarantee that an academic staff member is ready to make successful application for tenure. For such applications to be successful, the applicant should be able to substantiate the capacity for a career as a productive researcher/scholar, effective teacher, and active contributor to the University community (see Table, p. 26). In yearly meetings with individual Faculty members about professional goals, plans for application for tenure will be included in the discussion.

Candidates making application for appointment 'with tenure' shall **submit a 'letter of intent,' a career progress narrative, and curriculum vitae** to the Chair, Academic Appointment Review Committee (AARC), by **December 1. On or before February 1**, academic appointees who wish to be considered for appointment 'with tenure' shall submit the relevant materials listed under the heading **Documentation** (below).

Application for appointment with tenure requires documentary evidence of teaching effectiveness (e.g., teaching dossier). It is recognized that student evaluation is not the only criteria for assessing teaching performance, and those considering application for appointment *With Tenure* are encouraged to seek peer evaluation of their teaching. **Evidence of effective supervision of graduate students must be provided where appropriate.**

The publication record should include high quality, peer-reviewed, or equivalent publications. Competitive research grants are required as evidence of research achievements.

In service, active participation at the Faculty and/or University level as well as the community and professional levels is expected.

For academic staff in the Instructor ranks, there is no requirement for research activity but such activity is not discouraged. However, instructors of all ranks are expected to undertake educational scholarship to improve teaching effectiveness and maintain currency in the field.

Early Application

According to the APT Manual, Section 5, a Faculty member may make early application for appointment with tenure. At any time prior to review by AARC, the applicant may withdraw the application. If the withdrawal occurs after February 1, the application counts as one of the maximum of two allowed. Withdrawals must be in writing and applicants will be made aware of this policy when making early application.

Documentation

All applicants who wish to be considered for appointment *with tenure* (including early consideration) will submit a 'Letter of Intent,' a career progress narrative, and curriculum vitae to the Chair, Academic Appointment Review Committee by December 1. The completed form and relevant materials must be submitted by February 1. Relevant materials include:

- completed application form;
- current curriculum vitae;
- career progress narrative;
- a full package that documents achievements in teaching, research, and service;
- a packaged selection of research/scholarly work representative of the appointee's accomplishments to be sent to referees as well as the applicant's current curriculum vitae and letter detailing achievements (applicants supply six copies for referees);
- a letter detailing the applicant's achievements and summarizing career progression and highlights.

Accomplishments in teaching will be presented in a teaching dossier. Although these take various forms, there seems to be agreement that it should be easily read and well organized. It should include a 4-8 page summary outlining teaching responsibilities and contributions (courses, student advising, administrative/committee responsibilities); teaching philosophy, goals and objectives, teaching methods, teaching development projects; teaching effectiveness (summative and formative evaluations), self-reflection ; and supporting documentation (appendices).

Referees

In the case of application for tenure, assessment of the academic appointee's application will be sought from at least four referees, one of whom is the applicant's nominee.

The Faculty of Social Work follows the guidelines below respecting the selection of referees and the processing of letters of reference:

- Final responsibility for selection of referees rests with the Dean, who will consider suggestions of the Associate Dean or Head and the candidate.
- No more than one of the referees selected can be drawn from the candidate's suggestions, and the Dean will identify this person to the AARC.
- Letters of reference, along with other documentation, will be made available to the AARC membership for review prior to the meeting of the AARC.

If the Chair is not knowledgeable of the applicant's area of expertise, advice will be sought from appropriate faculty members for names of referees in the particular field. Otherwise the Chair, normally the Dean, will select referees.

In the case of an Instructor making application for appointment *With Tenure*, assessment of the academic appointee's application will be sought from at least four referees at the University of Calgary recognized for outstanding teaching abilities. These referees will be asked to comment on the quality of the candidate's teaching and professional performance in accordance with the criteria for the rank. At least two of these referees will be from outside the Faculty, one shall be from a list provided by the applicant to the Dean, and one may be a member of the applicant's Faculty. Documentation provided by the applicant will include a current curriculum vitae, a description of career highlights and goals, and a teaching dossier.

On or before March 1, the Associate Dean will inform tenured Faculty members of individuals applying for appointment *with tenure*. The applicant's curriculum vitae and supporting documentation will be available for Faculty review. The Associate Dean will schedule a meeting with tenured Faculty members on or before the end of March to seek advice and consultation on applications for appointment with tenure.

The Associate Dean will identify, in consultation with the candidate(s), others to be consulted. These may include: University of Calgary academic staff from other units if they have direct knowledge of the candidate's research, teaching, or service activities; community professionals if they have direct knowledge of the candidate's research, teaching, or service activities. Consultation in these cases will be undertaken either verbally or in writing.

Applications for appointment 'With Tenure' and Promotion to Associate Professor

In the Faculty of Social Work, an academic staff member who wishes to make application for appointment *With Tenure* meets with the Dean to discuss career progression. The Dean will usually advise the candidate to make application for promotion to the next rank, in the case of promotion to Associate Professor, at this time so that referees may make a recommendation on both applications.

Academic appointees who are also making application for promotion should have materials relevant to both applications submitted to the Chair of the Academic Appointment Review Committee (AARC) on or before February 1. Applications for appointment with tenure are reviewed by the Academic Appointment Review Committee; applications for promotion to Associate and Full Professor are reviewed by the Faculty Promotions Committee. Both of these committees are advisory to the Dean (see Appendix A for composition).

CAREER PROGRESSION GUIDELINES FOR TENURE AND PROMOTION

NOTE: Although this table may be referred to as a guideline for career progression, one must recognize the diversity of career patterns and the implications of such patterns.

Academic Activity	Tenure and Promotion to Associate Professor	Full Professor
Teaching <ul style="list-style-type: none"> ▪ student ratings ▪ teaching dossier 	Meritorious	Meritorious
MSW thesis student supervision	1	3
MSW case study supervision	5	10
PhD student supervision	2 committees	1 chair 4 committees
Peer-reviewed journal articles/ book chapters	5	15
Conference proceedings; poster/ paper presentations (peer-reviewed)	10	25
Book		1
Research grants <ul style="list-style-type: none"> ▪ major granting council ▪ other 	2 co-investigator or collaborator 1 Principal Investigator (PI) or co-PI	6 3 PI
Research reports/monographs	2	9
Faculty and University service	Participation, some leadership	Demonstrated leadership
Service to the profession	Participation, some leadership	Demonstrated leadership
Service to the community	Participation, some leadership	Demonstrated leadership

Academic staff member needs to demonstrate a clear balance throughout career among teaching, scholarship, and service, with due consideration to roles and location of staff member.

PROMOTION/TRANSFER/EMERITUS STATUS

Through promotion, the Faculty of Social Work seeks to identify and reward individuals who demonstrate excellence in the three areas of teaching, research, and service. While all three assessment areas are considered, *research/scholarship is essential for tenure and promotion*, with the exception of faculty members at the Instructor rank, who are required to demonstrate excellence only in the areas of teaching and service. Candidates for promotion should have demonstrated and sustained meritorious performance. Meritorious assessments (.6 and higher) do not necessarily guarantee that an academic staff member is ready to make successful application for promotion/tenure. For such applications to be successful, the applicant should be able to substantiate the capacity for a career as a productive researcher/scholar, effective teacher, and active contributor to the Faculty, University, profession, and community (see table on p. 26). In yearly meetings with individual Faculty members about professional goals, plans for progress toward promotion will be included in the discussion.

Therefore, on or before February 1, academic staff members who wish to be considered for an appointment *With Tenure*¹ and promotion to Associate Professor will submit:

- an application form (in the case of appointment with tenure) and letter of intent (in the case of promotion);
- a current curriculum vitae;
- relevant research/publication materials appropriately packaged for distribution to referees (normally 6 copies); and
- a teaching dossier.

For promotion candidates will have demonstrated in teaching a commitment to excellence in education, including a commitment to teaching development and strong teaching performance and effectiveness. In this regard, section 5.1.6.4 (GPC Manual) states:

Evaluations of teaching should state the basis for the assessment, e.g., student assessments, multi-year teaching dossier, review by senior colleagues, classroom/lab visits by the Department Head, etc. It would be helpful to promotions committees to give an indication of the time commitment to teaching, and the nature and significance of the involvement.

In scholarship, candidates for promotion will have produced a substantial body of high quality, peer-reviewed scholarly work and earned a reputation for significant scholarly contributions. Supervision and graduation of graduate students is also considered in the evaluation process.

With respect to service, Faculty members are encouraged to exhibit leadership in their contributions. There are two aspects of service contributions—service to the Faculty and University and service to the larger community and profession. Since a satisfactory level of

¹ Candidates making application for appointment *with tenure* shall submit a 'letter of intent,' a career progress narrative, and curriculum vitae to the Chair, Academic Appointment Review Committee, by December 1.

performance implies at least a minimal contribution to the governance of the Faculty and/or University, candidates for promotion should exhibit meritorious performance in their involvement with the Faculty and/or University.

Candidates for promotion should produce evidence of a substantial promise of continued growth and productivity.

Documentation

In the professorial rank, applicants for promotion must submit:

- an application letter of intent,
- a career progress narrative;
- a current curriculum vitae,
- a teaching dossier, and
- a package (6 copies required) containing examples of the best or most representative peer-reviewed, or equivalent, publications suitable for distribution to referees, the current curriculum vitae, and the career highlights letter.

For the Faculty Promotions Committee, the candidate will present documentation for activities and products outlined in his/her curriculum vitae.

Promotion in the Professorial Ranks

Associate Professor

For promotion to Associate Professor, the applicant must have an overall history of meritorious increments demonstrating a history of achievement in teaching, research/ scholarship, and service activities, as well as a scholarship/research agenda (e.g., work in press and work in progress).

Promotion to the rank of Associate Professor requires evidence of teaching effectiveness, recognized research achievements, and a good record of service, including service to the Faculty, University, profession, and community. When the teaching function is assessed, evidence of effective performance in undergraduate and graduate programs, if appropriate, will be considered. This should be reflected in both the University Student Rating Instrument and the Faculty's student evaluation instrument, as well as through the FPC performance assessment and recommendation. The publication record should include high quality, peer-reviewed publications. Competitive research grants are required as evidence of research achievements. Evidence of effective supervision of graduate students must be provided where appropriate. In service, active participation at the Faculty and/or University level as well as the community and professional levels is expected. As well, participation in international research and/or teaching or service activity is expected.

Peer review, or equivalent, and dissemination are part of academic expectations at all ranks and in each case, at least four referees shall be contacted to comment on the applicant's career history and requested to make a recommendation on the application.

The guidelines outlined under Promotion to Full Professor, Referees, in respect to selection of referees and the processing of letters of reference will also apply to promotion to Associate Professor.

The Associate Dean will prepare a written assessment and recommendation on the promotion of an applicant to be forwarded to FPC. The referees' letters in regard to the application will be accessible to the Associate Dean when writing this recommendation, however, will not be accessible to the candidate. The Faculty Promotions Committee will make a recommendation to the Dean regarding promotion of candidates, and the Dean in turn will make a recommendation regarding promotion to the General Promotions Committee.

Promotion to Full Professor

To make application for Full Professor, there are significantly increased expectations with respect to research/scholarly works, a growth in teaching capability, and service contributions such as leadership roles and participation at national/international levels.

Promotion to the rank of Professor requires documentary evidence of teaching effectiveness. It is recognized that student evaluation is not the only criteria for assessing teaching performance, and those considering application for promotion are encouraged to seek peer evaluation of their teaching.

Promotion to the rank of Professor requires that the candidate will have made a significant impact in his/her discipline and established a scholarly and professional reputation at both the national and international levels. Achievements must be fully documented and supported by eminent referees external to the University. The publication record should include high quality, peer-reviewed publications.

Evidence of effective graduate student supervision and completion at the doctoral level is normally required for promotion to Professor.

A candidate should also have established a record of significant and sustained service. The Faculty member is expected to have exhibited leadership in service to the Faculty, University, community, and profession, and to have participated at local, national, and international levels.

Referees

The Faculty of Social Work follows the guidelines in Section 6.10.1 of the *Manual of Policies and Procedures for the Annual Assessment of Academic Staff* respecting the selection of referees and the processing of letters of reference:

- Final responsibility for selection of referees rests with the Dean, who will consider suggestions of the Associate Dean(s) and/or Division Head(s) and the candidate.
- No more than one of the referees selected can be drawn from the candidate's suggestions, and the Dean will identify this person to the GPC.

- The Dean will submit to GPC a list of the selected referees, indicating how their expertise makes them appropriate assessors of the candidate's accomplishments, and describing their relationship to the candidate (if any).
- The letters of reference solicited by the Dean will be made available to the Associate Dean prior to her or his review and recommendation to the FPC.
- Letters of reference, along with other documentation, will be made available to the FPC membership for review prior to the meeting of the FPC.
- For promotion to Full Professor, three of the five referees contacted will be eminent scholars and represent the national and international communities.

Progression in the Instructor Ranks

The instructor ranks are progressive ranks. In its deliberations, the FPC will consider the requirements of the rank, the career history of the applicant, and the recommendation from the appropriate Associate Dean. A teaching dossier must be provided by the applicant for review by FPC. In consideration of progression in rank and application for appointment '*With Tenure*,' teaching and service are the requirements of the rank with teaching being the prime focus. Accomplishments in this area will be presented in a teaching dossier. Although these take various forms, a teaching dossier should be easily read and well organized and could include, but is not limited to:

- a career progress narrative;
- a 4-8 page summary outlining
 - ✓ teaching responsibilities and contributions (courses, student advising, administrative/committee responsibilities),
 - ✓ teaching philosophy, goals and objectives,
 - ✓ teaching methods,
 - ✓ teaching development projects,
 - ✓ teaching effectiveness (summative and formative evaluations),
 - ✓ self-reflection;
- supporting documentation (appendices).

Instructor

The candidate must possess a graduate degree in an appropriate discipline and show evidence of teaching effectiveness. The capability to initiate and participate in a wide variety of teaching activities will be considered. As well, service to the Faculty and community is an expectation of this rank.

When the committee considers promotion to senior instructor (FPC) or appointment 'with tenure' (AARC), evidence of teaching excellence, a creative and scholarly approach to the teaching function, and initiation and participation in a wide variety of teaching activities will be reviewed. There must also be evidence that the individual is thoroughly familiar and maintains currency in one or more specialized areas of social work.

Senior Instructor

Information on promotion to the rank of Senior Instructor from instructor can be found in *Procedures Pertaining to Appointment, Promotion, and Tenure*, Section 3. In the case of promotion to Senior Instructor, appointment to this rank shall normally require significant leadership roles in, for example, curriculum development, teaching development, instructional design innovations; evidence of teaching effectiveness; a creative and scholarly approach to the teaching function; evidence that the individual is capable of initiating and participating in a wide variety of teaching activities (APT manual, 3.11); involvement in graduate supervision/examination committees; and related professional activities of the Faculty.

Transfer between Professional Streams

Transfers between professorial and instructor ranks will be according to guidelines in the APT manual, see section 3.1. The Faculty administration needs to determine how such a transfer request will impact the teaching and research requirements of the Faculty as outlined in the Faculty's Staffing Plan. The appropriate Associate Dean will consider whether the applicant meets academic qualifications and/or performance commensurate with the expectations for a new rank, e.g., Instructor to Assistant Professor or Senior Instructor to Associate Professor. After consideration, the Associate Dean will forward the request with his/her recommendation to the Dean.

The request will be reviewed by the FPC based on the following criteria:

1. that an open search process was held in the first instance;
2. that the applicant evidences excellence in teaching;
3. that the applicant evidences excellence in research and service appropriate to the rank for which application is being made;
4. that a recommendation for transfer from the Instructor to the Professorial rank be made based on academic merit, research and scholarly contributions and potential, and not on length of service.

Emeritus Status

Social Work's Faculty Promotions Committee considers those retirees who are eligible for Emeritus Status at the FPC meeting following their retirement from the University of Calgary. Academic staff who will be considered at this meeting are asked to submit their current curriculum vitae to the Dean's Office. Eligibility for consideration for emeritus status will be based on years of service and completion of a distinguished career. (GPC Manual, 11.0) Female applicants may request that their status be designated "Emerita."

In the case where an individual has made a major contribution to the academic program at the University of Calgary, but does not meet all of the eligibility criteria set out in Section 11.1 (GPC Manual), that person may be recommended for emeritus status and reviewed by the FPC.

APPOINTMENT RENEWAL

The application of an Instructor or Assistant Professor for a two-year renewal to an Initial Term four-year appointment is reviewed by the Academic Appointment Review Committee, which will make a recommendation to the Dean. If an academic staff member is hired at the rank of Associate Professor, that person would normally make application for appointment *with tenure* toward the end of the penultimate year of the four-year Initial Term appointment.

In consideration of appointment renewal, teaching and service are the requirements of the Instructor rank with teaching being the prime focus. At the professorial ranks, teaching, scholarship, and service are requirements of the rank.

Accomplishments in teaching will be presented in a teaching dossier. Although these take various forms, a teaching dossier should be easily read and well organized, and could include, but is not limited to:

- a 4-8 page summary outlining teaching philosophy, responsibilities, and contributions (courses, student advising, administrative/committee responsibilities);
- teaching philosophy, goals and objectives, teaching methods, teaching development projects;
- teaching effectiveness (summative and formative evaluations), self-reflection; and
- supporting documentation (appendices).

VACANCIES AND NEW APPOINTMENTS

The Dean will ensure that vacancies for an academic appointment of more than 12 months duration will be advertised in accordance with University guidelines, and in formats and locations appropriate for the Faculty of Social Work. Members of the Academic Selection Committee will be encouraged to utilize their professional networks to elicit applications from qualified applicants.

For academic recruitment initiatives in a given academic year, an Academic Selection Committee is established. Faculty Council delegates the process of striking an Academic Selection Committee to the Faculty Assembly. (See Appendix A for composition of the Academic Selection Committee.)

The Faculty of Social Work is committed to Employment Equity and the Academic Selection Committee will take this into consideration in making its recommendations. The University of Calgary encourages all qualified candidates to apply for positions, however, gives priority to Canadians and permanent residents, and respects, appreciates, and encourages diversity.

When an Academic Selection Committee determines that two or more candidates are equally qualified to receive an offer of appointment, and at least one of these candidates is from either of the following groups:

- a) the minority gender in a unit in which the gender ratio of academic staff is greater than 2:1, or
- b) any group identified under Employment Equity that is under-represented as defined by the Faculty's Employment Equity Plan,

the Committee shall recommend that an offer of appointment be made to the candidate who is a member of groups a) or b). (APT Manual 4.3.10)

In line with FOIP, the Faculty will retain recruitment records for two years.

The Academic Selection Committee shall:

1. Identify a short list from a pool of qualified applicants, normally more than one, utilizing a ranking based on relevant criteria relative to the advertised position.
2. Develop a protocol for short-listed candidates that includes opportunities to assess candidates' teaching and research abilities and potential; and opportunities to seek input from faculty and staff, students and community professionals. The protocols will reflect the requirements of a particular vacancy and may vary from one competition to another. However, every candidate for a given competition will follow the same protocol.
3. Request written references commenting on those factors relevant to the vacancy for all short-listed candidates.
4. The Committee will identify the individual whom they feel best meets the criteria and advise the Dean accordingly.
5. The Committee may choose, for good reason, to recommend no candidate to the Dean.

Student opinion will be considered by seeking feedback from students who attend a candidate's teaching and/or demonstration and research presentation.

Faculty member opinion will be considered by seeking feedback from those who attend a candidate's research presentation.

Community member opinion will be considered by seeking feedback from those who attend a candidate's research presentation.

Contingent Term appointments are those appointments of more than twelve months' duration funded 50% or more from outside the base operating budget and carrying no implication of renewal or continuation beyond a specified term. Since an external funder is involved in these appointments, often with its own established selection procedures, the normal academic selection process need not be followed provided the waiving of normal procedures receives the approval of the Provost and Vice-President (Academic) on recommendation of the Dean.

In cases in which an existing or potential academic staff member has a partner or spouse who has academic qualifications, a Faculty may for retention or recruitment purposes make employment offers to accommodate both and then endeavor to find employment for that person where no suitable position has been advertised (refer to the APT Manual, 4.8, Extraordinary Procedures for Expedited Spousal Hiring). "Primary Spouse" refers to the person who has been recommended for an offer of appointment; "Secondary Spouse" is the partner/spouse of a Primary Spouse who has the qualifications to hold an academic staff appointment and wishes to do so. The "Home Faculty" refers to the Faculty of Social Work; in the event that the hiring may affect more than one Faculty/Department/Unit, all units directly affected shall be deemed to comprise the "Destination Unit."

Other Appointments

Adjunct Assistant, Associate, or Full Professor

Adjunct appointments at the professorial rank are usually made in cases where a formalized collaborative relationship is sought and beneficial to both the Faculty and to the organization associated with the adjunct. Such collaboration is usually in the areas of teaching and research, and the nature and extent of the duties of an Adjunct appointment are decided by mutual agreement between the appointee and the Dean or Head, and incorporated into the letter of appointment.

Normally an Adjunct appointee is an individual who holds an earned doctoral degree in Social Work or related discipline and demonstrates advanced knowledge and/or practice leadership in a field relevant to Social Work. Such appointments are usually made for a five-year period at which time a review of the appointment is undertaken.

Adjunct Professional (Practice)

An Adjunct Professional (Practice) is designated as an individual, outside of the University, who wishes to be associated with the Faculty of Social Work, but does not hold an ongoing remunerated appointment with the University. Normally, this professional holds at least a Master's degree and is employed in a collaborating organization and holds an advanced practice or leadership role. Collaboration is normally in the areas of curriculum development, practicum opportunities, and research.

Adjunct Professor (Field Education)

Those practitioners who are involved as field instructors for our graduate and undergraduate students are invited to use the title 'Adjunct Professor (Field Education)' while they are in the role.

APPENDIX A

COMMITTEES

1. ACADEMIC APPOINTMENT REVIEW COMMITTEE

Applications for appointment with tenure must be reviewed by the Academic Appointment Review Committee (AARC), which is advisory to the Dean.

In the case of a recommendation by the Dean for a two-year renewal to an Initial Term appointment (48 months) on behalf of an Assistant Professor or Instructor, these will be reviewed by the AARC.

In the case of a recommendation by the Dean for non-renewal of an Initial Term appointment, this recommendation will be reviewed by the AARC.

For all of the above, the form, *Appointment Review and Renewal: Academic Staff*, sent to the academic staff member from Human Resources, must be completed.

Composition

The Associate Dean performs the functions of the Head (nonvoting).

For the Faculty of Social Work, the composition of the Academic Appointment Review Committee shall be:

- Dean or delegate (nonvoting), Chair
- Associate Dean (as Head) (nonvoting)
- Three tenured academic appointees who are members of the Faculty of Social Work, elected by Faculty Assembly, and one alternate.
- One tenured academic appointee from outside the Faculty, selected by the Dean from a slate of three identified by Faculty Assembly (voting).
- Up to two academic members appointed by the Dean (voting).
- One member from the Alberta College of Social Workers (ACSW) (voting).
- One member appointed by The University of Calgary Faculty Association (TUCFA) (nonvoting).
- One student representative provided for by the Social Work Students Association (SWSS) (voting).

The chair will vote only in the case of a tie.

The AARC may not meet unless present are the Chair, one internal tenured academic appointee, the external tenured academic appointee, one of the Dean's appointees, the Associate Dean, and the TUCFA representative. Both genders must be represented on the committee.

2. ACADEMIC SELECTION COMMITTEE

The Academic Selection Committee, which is advisory to the Dean, shall be comprised of:

- Dean (or designate) as Chair (voting in the case of a tie)
- Associate Dean or Head (nonvoting)
- Region Head if the vacant position is located in one of the Regions (nonvoting)
- Three academic appointees and one alternate from the Faculty of Social Work elected by Faculty Assembly (voting)
- One academic appointee from outside of the Faculty selected by the Dean from a slate of three identified by Faculty Assembly (voting)
- Administrative staff person (ex-officio, nonvoting)

The Chair of the Academic Selection Committee will strive to ensure “that the composition of the selection committee will be diverse” (Employment Equity Plan).

A quorum for the Academic Selection Committee will consist of 50%, plus the Chair.

The Faculty of Social Work is committed to Employment Equity and the Academic Selection Committee will take this into consideration in making its recommendations.

In line with FOIP, the Faculty of Social Work will retain recruitment records for two years.

The Academic Selection Committee shall:

1. Identify a short list, normally more than one, from the applications, based on relevant criteria relative to the advertised position. All qualified candidates are encouraged to apply; however, Canadians and permanent residents will be given priority.
2. Develop a protocol for short-listed candidates that includes opportunities to assess candidates' teaching and research abilities and potential; and opportunities to seek input from faculty and staff, students and community professionals. The protocols will reflect the requirements of a particular vacancy and may vary from one competition to another. However, every candidate for a given competition will follow the same protocol.
3. Request “written references commenting on those factors relevant to the vacancy for all short-listed candidates” and conduct telephone interviews with referees.
4. The “Committee may choose, for good reason, to recommend no candidate to the Dean.”

Student opinion will be taken into account by seeking input from students who attend a candidate's teaching demonstration and/or research presentation.

The Dean will ensure that the Academic Selection Committee complies with all Employment Equity regulations.

3. ASSOCIATE DEAN'S ADVISORY COMMITTEE

This committee is advisory to the Associate Dean who makes recommendations to the Faculty Promotions Committee for merit increment, performance reviews, and promotion.

The committee is composed of the designated Associate Dean (Chair) and two members elected by Faculty Assembly for two-year, non-renewable terms who have previously been members of the Faculty Promotions Committee. ADAC members are not eligible for election to the same year's Faculty Promotions Committee, nor can they act as an advisor to an appellant at that year's Faculty Promotions Committee. Composition of the committee will ensure gender balance.

4. FACULTY PROMOTIONS COMMITTEE

The FPC is a Dean's Advisory Committee composed of:

- Dean (or delegate) as Chair (nonvoting)
- Associate Dean (nonvoting)
- one TUCFA representative appointed by the TUCFA Executive (nonvoting);
- one member of the full-time academic staff appointed by the Dean (votes in the event of a tie) or to ensure quorum;
- five Continuing, Contingent, or Limited Term members of the full-time academic staff (voting) elected by Faculty Assembly to include: one member from each of the three ranks; one member representative of the Regions; one member without any of the above restrictions. Academic staff in the instructor rank are eligible for nomination and could represent the Assistant Professor rank. As well, the Instructor rank is eligible as a Regional representative, a member-at-large, or a Dean's appointee;
- both genders shall be included among the voting academic staff members; and
- one student representative selected by Social Work Students Society (SWSS) and ratified by Faculty Assembly (voting).

With the exception of a student who may have graduated, membership on the FPC is for a two-year term.

Performance assessments and/or increment recommendations, the wording of assessments, and denial of promotion to a higher rank may be appealed to the FPC.

The Committee must consider each academic staff member's case individually. The performance rating and corresponding merit increment award will be

recommended to the Dean. The Dean must provide a written rationale to FPC for not accepting the recommendations of the committee.

In addition to information supplied by the academic staff member, it is the responsibility of the FPC chair to gather other information and documentation which the committee may need when reviewing the member's performance. Student submissions are admissible if they are written, signed, and give justification for their views (this does not refer to unsigned teaching evaluations, which are admissible: see Section 3.2.4). No anonymous material is acceptable. The academic staff member must be given the opportunity to respond in writing to any solicited (other than reference letters) or unsolicited information which is included for review by FPC and the members' responses must also be included in the FPC review. Therefore, this material should be received by the Chair, FPC, at least two weeks prior to the FPC meeting.

5. RESEARCH AND SCHOLARSHIP LEAVE COMMITTEE

Terms of reference:

In accordance with article 16.5.2(f) of the Collective Agreement, the Research and Scholarship Leave Committee:

- requires the Research and Scholarship Leave report including accompanying documentation;
- makes a recommendation to the dean of acceptance or rejection of the Research and Scholarship Leave reports;
- forwards the review of the sabbatical report to FPC to ensure that the Research and Scholarship Leave activities are tied into the merit review process.

Composition:

The Research and Scholarship Leave Committee is comprised of three full-time academic staff members, elected by Faculty Assembly, who do not intend to apply for a Research and Scholarship Leave in the year(s) concerned. The committee shall elect its own chairperson.

The conflict of interest guidelines (p. 22) apply here as well.

APPENDIX B

FACULTY OF SOCIAL WORK OUTSIDE PROFESSIONAL ACTIVITY GUIDELINES

The University's policy on Outside Professional Activity (OPA) has defined OPA as "those activities which the academic staff member performs as a community service. . . , or those for which the academic may receive remuneration" (Article 13.1:Definition of OPA). According to the OPA policy, these activities are normally restricted to activities associated with the academic staff member's major academic interest as an employee of The University of Calgary. This definition is sufficiently broad to include all currently recognized community service activities that involve the major academic interests of staff members in the Faculty of Social Work. These activities may include the offering of "expertise" on a voluntary basis to community groups, service in learned societies and professional associations, lecturing to public or private groups, and the performing of paid analytical, investigative or research work and professional services or consultation to private clients, business, government and so on. The policy further defines major OPA as an activity which includes any of the following:

- (a) a leave, as defined in Article 18 (Leaves), or
- (b) the reassignment or rescheduling of the academic staff member's normal duties, or
- (c) the use of University space, resources, facilities, equipment, personnel, or
- (d) the employment of other academic staff members, other employees of the University, or students qua students, under any form of contract of employment whatever, or
- (e) any OPA which will occur during a period of leave pursuant to Articles 16, 17, or Article 18, Clause 6. (Article 13.5.1)

The University's policy supports increased interaction between its academic staff and the community, and requires each Faculty Council to establish guidelines and policies to provide direction for this increased activity within the Faculty. The following guidelines are in place to assist academic staff members who engage in OPA, and to assist the Dean in administering these guidelines:

1. The Faculty of Social Work supports the University's policy on OPA (Board of Governors, January 1986) and its Executive Guidelines for the implementation of this policy (October 1986). Academic members are encouraged to increase their OPA, provided that these activities do not interfere with their regular duties in the University, and provided that they do not involve ethical or legal conflicts of interest.
2. The Faculty distinguishes between "minor" and "major" levels of OPA:

- (a) Minor CommitmentsXrefers to all community service activities of a research, practice or advisory nature that may range from a few hours up to a one- or two-day visit off-campus during the academic session. These activities will utilize no more than the occasional or minor use of University/Faculty facilities, supplies or support staff.
 - (b) Major CommitmentsXrefers to those community service activities that would keep the academic member away from University work for a total of one week or more at a time during an academic session; an outside paid commitment during the summer for one month or more; any outside service activity that makes more than occasional or minor use of University facilities, supplies or support staff.
3. Faculty members are encouraged to participate in a full range of OPA which are associated with their major academic interests as a member of the Faculty of Social Work.
 4. Faculty members should be cautious about entering agreements contrary to University policy regarding freedom to publish research results which contribute to the advancement of knowledge.
 5. Activities which are in competition with programs of the University should not be undertaken.
 6. Faculty members must take care not to promote, recommend, or authorize purchases by the University from a source in which the member or his/her family has a substantial interest; not to market for personal gain the results of university-sponsored research; and not to use without their approval the unpaid work of colleagues or students for personal gain.
 7. Faculty members may engage the part-time involvement of students in their OPA provided that the student's advisor is involved and agrees, and provided that the student's academic duties and rights are not infringed or prejudiced.
 8. Faculty members shall report, in writing, all proposed, or confirmed, major OPA to the Dean. Requests to be off-campus for extended periods must be submitted on the current Leave of Absence form and receive the Dean's approval in advance.
 9. Faculty members who wish to engage in a major OPA which involves a long-term time commitment and a regular absence from campus which may affect their ability to fulfil their normal responsibilities (in particular those outside activities that involve direct and active management obligations in an outside organization), or an activity which is new in scope or kind, must negotiate directly with the Dean. Any modification to their contractual obligations to the University and approved leaves of absence must be received in writing from the Dean.
 10. Faculty members engaged in major OPA shall not make any use of Faculty facilities, equipment, supplies or services without making appropriate compensation arrangements with the Dean in advance. All negotiated arrangements shall be in writing and subject to revision from time to time.

11. Faculty members engaged in major OPA must have adequate personal/professional liability insurance to indemnify the University and be prepared to provide evidence to the Dean from time to time.
12. Faculty members engaged in minor OPA must keep a record of their occasional or minor use of Faculty support staff and supplies. This record must be available for review at the Dean's request. The interpretation of what constitutes reasonable occasional or minor use without reimbursement is subject to revision by the Dean from time to time. Faculty members will be responsible for any direct costs resulting from minor OPA.
13. Faculty members engaged in OPA of any kind must include a report of these activities in their Academic Performance Report.
14. Faculty members who wish to dispute any decision affecting their OPA should meet with and seek to resolve the matter in discussion with the Dean. A faculty member, acceptable to both parties, may be involved as an informal arbitrator, in order to avoid the possibility of a formal appeal to the Provost & Vice-President (Academic).
15. Faculty members engaged in OPA at the time these guidelines comes into effect shall bring their activities into conformity with this guidelines by June 30, 1987. Where existing contractual arrangements prevent uniformity, the Dean must be advised and a satisfactory date agreed to.

Approved by Faculty of Social Work Council, January 28, 1987)

(Approved for implementation by Dr. M. A. Ward, Vice-President Research, December 9, 1988)